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# Software refactoring guided by multiple soft-goals

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## Abstract

*Software refactoring is intended to enhance the quality of a software by improving its understandability, performance, as well as other quality attributes. We adopt the modelling framework of [14] in order to analyze software qualities, to determine which software refactoring transformations are most appropriate. In addition, we use software metrics to evaluate software quality quantitatively. Our framework adopts and extends work reported in [15].*

## 1 Introduction

Fowler et al [7] define software refactoring as “the process of changing a software system in such a way that it does not alter the external behavior of the code yet improves its internal structure”. “Improvements to its internal structure” amount to improvements to the quality of the software system (also known as non-functional requirements). Examples of such improvements are “making the code easier to understand and cheaper to modify”. Their refactoring framework was proposed mainly for improving understandability and modifiability. However, the idea can also be applied to other qualities [14], such as performance, security, usability and more.

In this study, we adopt the process-oriented framework proposed in [3] for modelling software qualities. In this framework, qualities and the factors that affect them are modelled as *soft-goals*, while functionalities are modelled as *goals*. Specifically, they can be *operationalized* into *tasks* and *resources*. The dependencies among goals, soft-goals, tasks and resources are represented in a soft-goal interdependence graph (SIG).

Besides the functionality goals, we focus on performance and code complexity soft goals that are associated with a set of software metrics [6]. Constrained by conflicting resources, multiple soft-goals have to be

traded off, in situations such as “apply transformations to speedup the program 20 times without sacrificing the code complexity 4 times and introducing new expense on hardware”; or “adding functionalities to the program until the performance is getting slow (e.g., longer than one hour) or the code becomes too complex to understand and maintain (e.g., more than 10 classes in one header file)”.

In a case study, we will show how SIG guides the refactoring towards high performance and code simplicity while keeping implementing more functionalities. We have applied this approach in our header refactoring project [18] observing the progress (functionality), health (code complexity) and quality (performance) evolutions in the software development [4].

## 2 Software refactoring process

The refactoring process [7] is a sequence of small transformation steps: “while each refactoring step is simple, yet the cumulative effect of these small changes can radically improve the design”. To achieve this success, our approach is an iterative process that meets the soft-goals gradually, as illustrated in Figure 1. The process is subdivided into four consecutive steps:

1. Setting up the goal-reasoning model as a SIG [3], quantifying the satisfy or denial attributes of each soft-goal in a  $[0,1]$  metric [8];
2. Quantitatively measuring software metrics so as to claim which alternative soft-goal should be applied first;
3. Picking an effective refactoring among various transformations that contribute to the claimed soft-goal;
4. Applying the selected refactoring technique, which leads to iterative evaluations back in step 2,

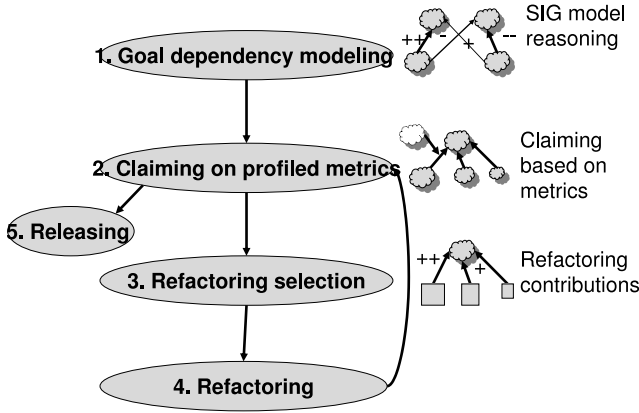


Figure 1: The overview of the soft-goal directed software refactoring process.

until every top-level soft-goals are met to release the software product.

### 3 A case study

In this section, we report on a case study for performance and complexity soft-goals on a fixed functionality – consider the following Fortran program for multiplying two matrices  $A \in R^{m \times l}$  and  $B \in R^{l \times n}$  into a matrix  $C \in R^{m \times n}$ .

```
real*8 A(512,512),B(512,512),C(512,512)
M = L = N = 512
do i = 1,M
  do j = 1, L
    do k = 1, N
      C(i,k) = C(i,k) + A(i,j) * B(j,k)
```

#### 3.1 Goal Modelling

Software development aims to improve the speed of software (performance) and to reduce the code complexity. Achieving the performance soft-goal reduces the operational cost while achieving the code simplicity soft-goal reduces the develop and maintenance cost [10].

Here we establish a soft-goal interdependence graph for the possibly conflicting higher performance and lower code complexity soft-goals and show how much the operationalized soft-goals contribute to them.

**Less code complexity** Code complexity has effects on how difficult to test and to maintain, while good

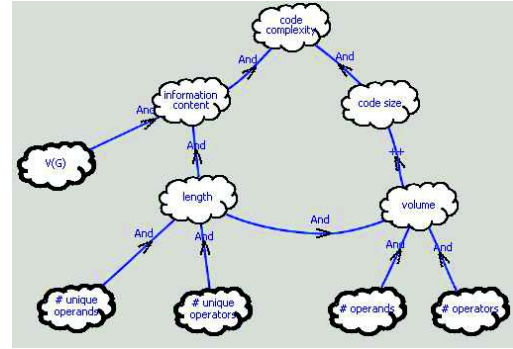


Figure 2: A SIG model for code complexity

testability and maintainability lead to less defect rate. In literature [10], code complexity can be measured in lines of code (LOC), McCabe’s cyclomatic number  $V(G) = e - n + 2$  [12] or in Halstead’s information science metrics [9] as  $(N_1 + N_2) \log_2(n_1 + n_2)$  where  $n_1$  is the number of unique operators,  $N_1$  is the total number of operators,  $n_2$  is the number of unique operands and  $N_2$  is the total number of operands  $N_2$ . Their SIG are shown in Figure 2.

**Higher time performance** In order to achieve a higher time performance system “Perf[System]”, both hardware (“Perf[Architecture]”) and software (“Perf[Algorithm]” and “Perf[Coding]”) improvements are useful. For software refactoring, we consider mostly on the codings that fit programs on the given architecture. The “Perf[architecture]” soft-goal is decomposed into “Perf[Processor]” and “Perf[Storage]”, and “Perf[Processor]” is decomposed into “Faster CPU frequency[Processor]”, “More CPU[Processor]” and “Deeper pipeline[Processor]”; “Perf[Storage]” is decomposed into “Perf[Main Memory]”, “Perf[Cache]” subgoals, where “Perf[Cache]” can be further decomposed into “Larger cache size[Cache]”, “Larger cache line[Cache]” and “More set associativity[Cache]” soft-goals. Soft-goals for coding have corresponding hardware constraints. For example, “More CPU[Processor]” soft-goal is required to implement parallelism, which can be improved by “Loop partitioning[coding]” [1, 5, 19] to achieve “More loop parallelism[coding]” soft-goal; “Larger cache[Cache]” soft-goal to resolve capacity cache misses; “Loop tiling and fusion[coding]” shortening the stack reuse distances [2] so as to avoid capacity misses for a given cache size [16, 13, 2]. A detailed decomposition of time performance soft-goal is shown in Figure 3.



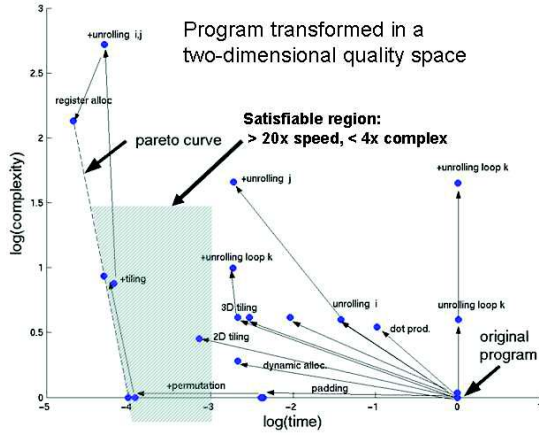


Figure 4: For the example programs, the quality space with time performance and code complexity indices are shown at log scale. Each program in table 1 is projected to a point in the space, each transformation produces an arrow from the program to another. It is clear that array padding, loop permutation, tiling and unrolling are effective optimizations when used properly, however, the last two increase complexity.

the quality space of time and complexity indices are shown in Figure 4.

Some techniques improve one soft-goal but harm severely to the other, while others provide net improvement to both soft-goals. The decision maker can choose the one suited for the intention. Figure 5 shows five major transformations as decision making alternatives. It is based on the initial soft-goals as “apply transformations to speedup the program 20 times without sacrificing the code complexity 4 times”, which is indicated in Figure 4 as a shadowed region.

## 4 Application

By laws of software evolution, a software is naturally subjected to continuing change (law 1), increasing complexity (law 2) and declining quality (law 7) [11]. We applied the proposed refactoring process to an on-going joint project with IBM Toronto lab [18]. This project aims at delivering a restructuring tool that speeds up the build processes within a reasonable time budget. We monitored the growth of the tool from scratch and plotted the metrics of changing functionality, performance and complexity in Figure 6, as it evolves from a code dependency graph partitioning algorithm (version 1 to 3), to 269 KLOC VIM 6.2

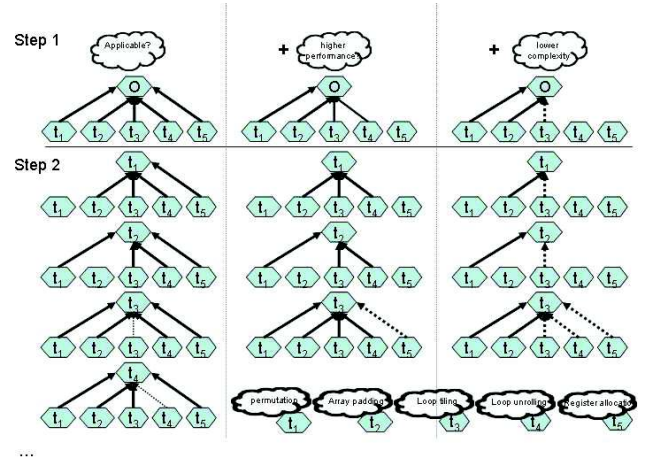


Figure 5: Two steps of refactoring are shown. Each step identifies the applicable tasks (operational soft-goals) for the given program (context), then decides on appropriate tasks for performance and complexity. The weights given to a branch result from multiplying the distribution weight through measurement with the soft-goal dependence weight in the quantified SIG.

in C (version 4 to 9) and to a 1580 KLOC commercial software package in C++ (version 10 to 13). The functionality is measured as the number of program units being correctly preprocessed. Here we use the number in version 13 as unit to normalize those at earlier versions. Performance and complexity metrics are also normalized as ratios against the largest data point and observed the versions where performance tuning and complexity refactoring taken places.

## 5 Related work and summary

Ladan Tahvildari et al [15] first applied the NFR framework for comparing performance and maintainability of OO software with/without design patterns. Her work emphasizes on comparing design patterns on maintainability issue, while this paper focuses on the performance tuning issues along with refactoring in the develop process. In order to make the trade-off between the two issues clear, we plot the metrics in an quality space so that the refactoring process can be traced as one of the paths leading to the satisfiable region by the soft-goals.

Functionalities of a software system are concerned with changes to the state of data, while non-functional requirements are with the changes to the state of the program without touching the state of the data.

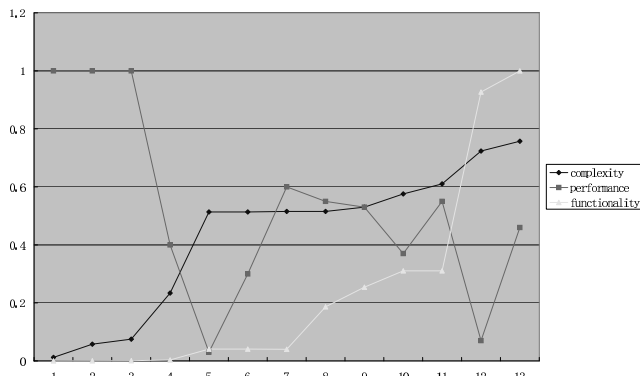


Figure 6: Goal guided refactoring on the software development for C/C++ header restructuring project.

In this perspective, Zou et al [20] consider software migration practice as a state transition system of the quality attributes. The assumption is that a legacy procedural program as a given product can be migrated to leverage qualities promised by object-oriented paradigm.

A case study in our work has shown that refactoring can be measured as the transformation on the state of program in the quality space. By further monitoring the process developing a new software from scratch, we suggest measuring the quality space along with the progress so that the refactoring goal is balanced with the productivity goal on demand. The satisfiable region in the quality space should be adjusted dynamically during the software evolution, i.e., development can be centric with a different top-priority at a different development phase. Because the refactoring changes are non-functional, they are invertible if no functionality change happens. Mixing with the functionality changes, however, the invertibility does not hold. Therefore the steps of refactoring must be small enough so that neither the productivity nor the invertibility would endanger the development goals.

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